

PATENT

Docket No.: LBL-IB-1498

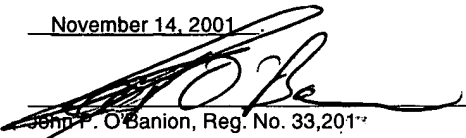
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: WENBING YUN; JOHN SPENCE; HOWARD A. PADMORE; ALASTAIR A. MacDOWELL; MALCOLM R. HOWELLS
Serial No.: 09/927,428
Filed: AUGUST 9, 2001
For: METHOD FOR NANOMACHINING HIGH ASPECT RATIO STRUCTURES
Group:
Examiner:

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on:

November 14, 2001


John P. O'Banion, Reg. No. 33,201⁷

November 14, 2001
Date of Signature

BOX MISSING PARTS
Assistant Commissioner for Patents
Washington, D.C. 20231

SUBMISSION OF MISSING PARTS OF APPLICATION
UNDER 37 C.F.R. § 1.53

Dear Sir:

In response to the Notice to File Missing Parts of Application (PTO-1533) mailed September 17, 2001, a copy of which is enclosed, please find the following documents which are incorporated by reference herein:

1. Combined Declaration and Power of Attorney;
2. Power of Attorney by Assignee and Exclusion of Inventor(s) Under 37 C.F.R. 3.71;
3. Assignee Certification Under 37 C.F.R. 3.73(b);
4. PTO Form 1449;
5. Copies of Citations Listed on PTO Form 1449;

6. Check in the amount of \$975 (\$910 filing fees and \$65 surcharge for the fees due as a small entity);
7. Transmittal of Substitute Formal Drawings;
8. Substitute Formal Drawings;
9. Assignment Cover Letter;
10. Assignment;
11. Check in the amount of \$40 (assignment recording fee).

The amount due for the filing fees and surcharge has been computed as follows:

CLAIMS AS FILED							
	Number filed		Number Extra		Rate		Basic Fee \$ 740.00
Total							
Claims 37 CFR 1.16(c)	80 - 20	=	60	X	\$18.00	=	1,080.00
Independent							
Claims (37 CFR 1.16(b))	3 - 3	=	0	X	\$84.00	=	
Multiple dependent claim(s), if any (37 CFR 1.16(d))				+	\$280.00	=	

Filing Fee Calculation	\$ 1,820.00
Surcharge	\$ 130.00
TOTAL FILING FEE	\$ 1,950.00

Small Entity Statement(s)

X Applicant qualifies as a small entity under 37 CFR 1.9 and 1.27.

Filing Fee Calculation (50% of above) \$ 975.00

Amount already paid LESS (\$)

TOTAL FILING FEES DUE \$ 975.00

X Assignment recording fee \$ 40.00

Petition fee \$ 0

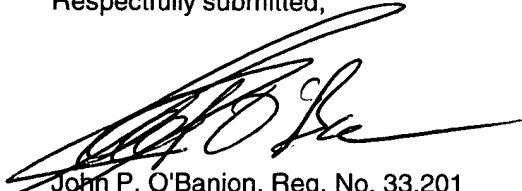
TOTAL FEES DUE \$ **1,015.00**

Please charge any additional fees due to deposit account no. 07-1137.

Having now complied with all of the requirements of 37 C.F.R. 1.53, the Applicants respectfully request that this application be placed upon the files for examination.

Dated: November 14, 2001.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "John P. O'Banion", written over a horizontal line.

John P. O'Banion, Reg. No. 33,201
O'BANION & RITCHEY LLP
400 Capitol Mall, Suite 1550
Sacramento, CA 95814
(916) 498-1010

CERTIFICATE OF MAILING BY FIRST CLASS MAIL (37 CFR 1.8)Applicant(s): **WENBING YUN ET AL.**

Docket No.

LBL-IB-1498-1

Serial No.

09/927,428

Filing Date

AUGSUT 9, 2001

Examiner

Group Art Unit

1765Invention: **METHOD FOR NANOMACHINING HIGH ASPECT RATIO STRUCTURES**I hereby certify that this **Citations (3)***(Identify type of correspondence)*

is being deposited with the United States Postal Service as first class mail in an envelope addressed to: The

Assistant Commissioner for Patents, Washington, D.C. 20231 on

November 14, 2001*(Date)***JOHN P. O'BANION***(Typed or Printed Name of Person Mailing Correspondence)*
*(Signature of Person Mailing Correspondence)***Note: Each paper must have its own certificate of mailing.**

TRANSMITTAL OF FORMAL DRAWINGSDocket No.
LBL-IB-1498-1In Re Application Of: **WENBING YUN ET AL.**

Serial No.

09/927,428

Filing Date

AUGUST 9, 2001

Batch No.

Examiner


Art Unit

1765Invention: **METHOD FOR NANOMACHINING HIGH ASPECT RATIO STRUCTURES**Address to:
**Assistant Commissioner for Patents
Washington, D.C. 20231**

Transmitted herewith are:

1 (one) sheets of formal drawing(s) for this application.

Each sheet of drawing indicates the identifying indicia suggested in 37 CFR Section 1.84(c) on the reverse side of the drawing.


Signature
**JOHN P. O'BANION, REG. NO. 33,201
O'BANION & RITCHEY LLP
400 CAPITOL MALL, SUITE 1550
SACRAMENTO, CA 95814
(916) 498-1010**Dated: **November 14, 2001**I certify that this document and attached formal drawings are being deposited on **November 14, 2001** with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.
Signature of Person Mailing Correspondence**JOHN P. O'BANION**

Typed or Printed Name of Person Mailing Correspondence

CERTIFICATE OF MAILING BY FIRST CLASS MAIL (37 CFR 1.8)Applicant(s): **WENBING YUN ET AL.**

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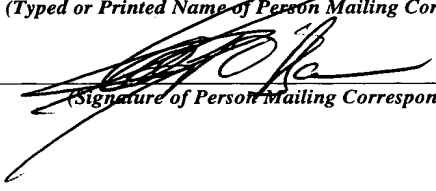
Examiner

Group Art Unit

1765Invention: **METHOD FOR NANOMACHINING HIGH ASPECT RATIO STRUCTURES**I hereby certify that this **Substitute Formal Drawings (Sheet 1)***(Identify type of correspondence)*

is being deposited with the United States Postal Service as first class mail in an envelope addressed to: The

Assistant Commissioner for Patents, Washington, D.C. 20231 on

November 14, 2001*(Date)***JOHN P. O'BANION***(Typed or Printed Name of Person Mailing Correspondence)*
*(Signature of Person Mailing Correspondence)***Note: Each paper must have its own certificate of mailing.**



UNITED STATES PATENT AND TRADEMARK OFFICE

 COMMISSIONER FOR PATENTS
 UNITED STATES PATENT AND TRADEMARK OFFICE
 WASHINGTON, D.C. 20231
 www.uspto.gov

#3

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/927,428	08/09/2001	Wenbing Yun	LBL-IB-1498-1

CONFIRMATION NO. 6387

FORMALITIES LETTER



OC00000006564847

 John P. O'Banion
 O' BANION & RITCHEY LLP
 Suite 1550
 400 Capitol Mall
 Sacramento, CA 95814

Date Mailed: 09/17/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

12/05/2001 SHINASS1 00000047 09927428

FILED UNDER 37 CFR 1.53(b)

01 FC:201	370.00 OP
02 FC:203	540.00 OP
03 FC:205	65.00 OP

Filing Date Granted

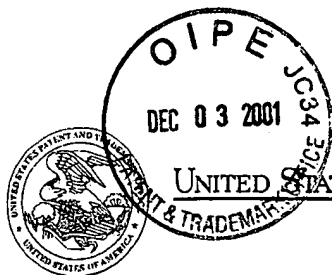
An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$540.
 - \$540 for 60 total claims over 20.
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 960.**

*A copy of this notice **MUST** be returned with the reply.*

 Customer Service Center
 Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
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John P. O'Banion
O' BANION & RITCHEY LLP
Suite 1550
400 Capitol Mall
Sacramento, CA 95814

Date Mailed: 09/17/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

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AUGUST 9, 2001

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JOHN P. O'BANION

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